
Energy Facility Contractors Group (EFCOG)
Integrated Safety Management (ISM)
Working Group

**Annual Report
Calendar Year 2004**



January 2005



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Energy Facility Contractor Group (EFCOG) Integrated Safety Management (ISM) Working Group Annual Report to the Directors Calendar Year 2004

I. Vision and Purpose

The Vision of the Integrated Safety Management (ISM) Working Group (WG) is to be recognized by DOE, and within EFCOG, as a driving force for Complex-wide performance improvement.

The purpose, as documented in the [Charter](#)¹, remains to promote excellence in the development, implementation and validation of ISM programs and processes by sharing information and lessons learned, and by facilitating the application of ISM information, techniques, and best practices at Department of Energy (DOE) sites.

II. Membership

The Working Group is composed of four Subgroups focusing on specific ISM topical areas and one Task Group that is working on the overarching topic of Integrated Management. Membership on the [Working Group](#) and Subgroups includes representatives from the primary DOE sites and 30+ EFCOG Member Companies.

To ensure the Working Group continues to include a focus on industry best practices and lessons learned, liaison membership has been established with the Institute of Nuclear Power Operations (INPO), the DOE National Environmental Training Office (NETO), and the National Laboratories Improvement Council (NLIC). The Working Group also established a liaison with the Defense Nuclear Safety Board (DNFSB), having two DNFSB members in attendance at our latest meeting.

The Working Group has also established effective horizontal communications with the other key Working Groups. A summary of the Working Group composition leadership and structure is provided in Attachment 1.

¹ Throughout this report, hyperlinks (indicated by underlined text) are included to link to key information or references on the EFCOG Home Page or other Internet locations. The hyperlinks are active on the electronic copy of this report. A listing of links is provided in Attachment 2 of this Annual Report.



III. Status

A. Objectives and Goals:

The primary objectives of the Working Group are to:

- Promote, coordinate, and facilitate the active exchange of successful programs, practices, procedures, lessons learned and other pertinent information of common interest to ISM.
- Promote ISM awareness and understanding by sharing management and technical information.
- Facilitate integration of existing environment, safety, health and quality (ESH&Q) processes and work practices within the framework of ISM.
- Identify streamlined techniques and best practices that enable cost-effective and accelerated implementation of validated ISM processes and programs.
- Facilitate coordinated contractor input to DOE on ISM-related issues.
- Provide an efficient mechanism for DOE interface with senior contractor executives and subject matter experts responsible for development, implementation and continuous improvement of ISM.

B. Working Group Achievements in 2004

- Semi-Annual ISM Working Group meetings were held at the DOE Nevada Operations / Bechtel Nevada Office in Las Vegas from May 10-15, 2004 and at the DOE Energy Training Complex in Albuquerque from November 5-7, 2004. The meetings were conducted at DOE and Contractor facilities to minimize costs. Key external customer and subject matter expert participation ensured the meetings were addressing current DOE and industry issues.
- Conducted conference calls to obtain periodic reports and share lessons learned.
- Supported review and the update to the “*Executive Council and Working Group Manual*” revision that was issued in August.



- Supported EFCOG corporate objectives (critical few) to ensure that ISM was properly addressed as a critical focus area. Examples of this were:
 - Leadership for the redesign of the DOE Occurrence Reporting System, achieving an estimated savings of over \$5M throughout the DOE complex in FY 03-04
 - Maintenance of an EFCOG “Best Practices” web site which provides a single reference point for all Contractors and the DOE
 - Issuing a *Performance Metrics Manual* for use by all member companies
 - Developing with DOE, a new Operating Experience Review process for implementation throughout the Department
 - Sponsoring workshops on the new DOE Occurrence Reporting System, Annual ISM System Updates, Performance Metrics and Performance Analysis
- Liaisons continue with the Institute of Nuclear Power Operations (INPO), the National Environmental Training Office (NETO), and the National Laboratory Improvement Council (NLIC).

Of the six DOE/EFCOG actions identified at the Albuquerque ISM Executive Workshop in 2002, the Working Group continued to track effectiveness of the following:

- Re-design of the Occurrence Reporting System and annual cost savings across the DOE complex.
- The joint EFCOG ISM/DOE ISSM strategic approach on ISSM and ISM activities. A recommendation was put forth to the EFCOG Directors during this year.

All Working Group tasks or activities are tracked on an overall integrated project / activity schedule (see link in Attachment 2).



IV. Subgroup Status and Achievements in 2004

Environmental

The Environmental Subgroup (ESG) met at the spring and fall Working Group meetings. In addition, the ESG held monthly conference calls to serve as a vital link between the meetings. Activities or accomplishments from the meetings and conference calls included:

- Preparation and submittal of four Best Practices during 2004. The Environmental Feedback Task Team set a goal to submit two best practices to the EFCOG Best Practices during 2004. Environmental Subgroup members presented six candidate best practices during the May 2004 meeting.
- Prepared a list of consultants and third party registrars from DOE sites working towards implementing Environmental Management Systems (EMSs). The list provides a contractor point of contact, company (or name) of consultant or registrars, description of the work performed, and relevant comments. Subgroup members can use the information to 'benchmark' consultants and registrars.
- Updated the subgroup membership list, website information, and identified subgroup liaisons to other ISM Working Group subgroups.
- Reviewed pollution prevention requirements in DOE Order 450.1.
- Held monthly conference calls to discuss subgroup tasks, compliance issues, etc.
- Presented three more best practices at the fall 2004 meeting as candidates for the Best Practice website.
- A subgroup member made a presentation on the new ISO 14001 Standards.
- Shared many lessons learned at both meetings and during our monthly conference calls.
- Instituted a method to send 'Information Bulletins' to subgroup members. Sent five bulletins during the year on regulatory issues.



The subgroup identified four new tasks for 2005; closed four of six 2004 tasks; one will close by the end of the 2004 and will result in the submission of four best practices and the other task will close by the next bi-annual meeting in March 2005.

Feedback and Improvement

The Feedback and Improvement Subgroup (FI) met at both of the Working Group meetings. Activities or accomplishments during 2004 included:

- Supported presentations on a wide variety of topics to include:
 - Human Performance
 - DOE Operating Experience Review Process
 - Occurrence Reporting Workshop
 - Effectiveness Reviews
 - Extent of Condition Determinations
 - Independent Assessment Lessons Learned
 - DOE Response to DNFSB 2004-1
 - Line Oversight / Contractor Assurance
 - DNFSB Topics of Interest
 - Subcontract Management and Oversight
- Provided comments on draft DOE Standard on Operating Experience Review Program (DOE-STD-7501-XX) to DOE HQ. Subsequently, DOE has decided to issue this as an Order. Comments provided on the draft Standard are being used by DOE HQ to develop a Guide on the new order.
- Hosted Occurrence Reporting Feedback and Improvement Workshop in Atlanta on March 17-18.
- Hosted Human Performance training session at the November 2004 ISM WG meeting with twelve participants.
- Expanded the subgroup charter to include occurrence reporting.
- Developed draft “white papers” on Effectiveness Reviews, Performance Analysis and Extent of Condition Determinations. The white paper on Extent of Condition Determinations is being developed jointly with the PAAA Working Group.



Occupational Safety and Health (OSH)

The Occupational Safety and Health Subgroup of the ISM Working Group met twice in 2004 with excellent participation by EFCOG member companies in both meetings. The subgroup has three Task Groups; Occupational Medicine, Radiation Protection, and Industrial Hygiene/Industrial Safety. The subgroup and task group's highlights are as follows:

Presentations:

- Response from Bev Cook, EH-1 to RPTG Position Paper with regard to support for ANSI N13.12-1999. Her major points were:
 - EH does not believe the time is right to initiate a major policy change in this area at this time,
 - EH is working with other federal agencies to evaluate possible new strategies.
- DOE/EM Metrics, specifically the “4.0 Safety Expectation” metrics were discussed at the first meeting. The discussion was expanded to implementation practices at the second meeting. Interest continues with how metrics such as these should be administered across the DOE Complex.
- A presentation was made to discuss how one site has approached implementation of new NFPA 70E electrical safety standards in conjunction with possibly conflicting radiological control PPE requirements. This discussion has prompted interest in a future topic to discuss the mechanics behind the establishment of RP risk severity categories.
- In June 2004, EH 3 requested assistance in moving forward with their initiative relative to improving the Electrical Safety performance within the DOE. The OSH Subgroup chair was subsequently requested to open an action item to identify 3 to 5 clear actions that can be transmitted to EFCOG member companies for implementation in response to the DOE initiative.



A. Occupational Medicine

The Occupational Medicine task group provides a forum for occupational physicians and program directors to join together and address common complex-wide issues. A number of action items were completed during the year, with other new items generated and added to the overall Working Group integrated project / activity schedule. These include:

- Collect and transmit SOMD comments on EH-6 draft proposed contract language for occupational medicine
- Initiate dialogue with EH-6 regarding need for clarification of subcontractor occupational medicine coverage expectations, including range (definition) of individuals to be covered, liability issues, and HIPAA concerns
- Increase awareness at DOE HQ of the need and value of a strong professional leadership in occupational medicine. Consider task-oriented rotations of SOMD's at HQ. Dialogue with DAS who assumes responsibility.

B. Radiation Protection

The task group completed four objectives from 2003 and 2004, with one ongoing activity:

- The RPTG membership is interested in the association of INPO with the DOE complex. As it is understood by this group, INPO has an assist contract of some sort with DOE and a specific assist contract with SRS. The RPTG would be interested in further exploring this association with INPO and will contact them for additional information and possible attendance at a future meeting.

C. Industrial Hygiene/Industrial Safety

The task group completed objectives from 2003 and 2004 described in the overall Working Group integrated schedule. These include:

- Provide a crosswalk on ISO 9001 & 14001 and how it relates to ISM & VPP.
- Provide a checklist for BSL-3 lab procedural and facility operations readiness.
- Re-format Behavior Based Safety (BBS) document from a handbook format into a guidance booklet for posting on the EFCOG website.



- Work with the IM WG to determine when and where the next ISM general meeting is to occur and offer to have the IH/IS task group lead a session on “Tools of Cultural Change” inclusive of BBS and including presentations by successful outside industries using different models.

Quality Assurance

The group worked on the organization, communication and development of useful products for the complex in 2004. The focus for 2004 included:

- The Supply Chain task group initiated an approach to qualification of vendors and suppliers, which would allow for joint qualification and validation of supplier qualification to meet Quality Assurance (QA) requirements.

This action was initiated in response to the EFCOG BOD’s request for determining the feasibility of creating a “NUPIC-like” process for member companies. A team from within the ISM WG’s QA Subgroup has been working this issue and a joint project team meeting was held at SRS during July. The project team also met at ORNL in August to finalize a project feasibility proposal which was ultimately transmitted to the EFCOG BOD.

- The Quality Engineering Task Group developed a complex wide welding alert that identifies some key issues discovered in welding problems and provides for a quick review to avert similarly issues.
- The Quality Programs Task Group developed a guidance document to provide a working level basis for identifying the attributes of acceptable implementation of effective Corrective Action.

The Training and Communication Task Group organized and held a QA training workshop in November 2004.

Integrated Management Task Team

- The Integrated Management Task Team (IM) developed and recommended a path forward in sharing current contractor IM initiatives, including enhanced strategic planning, contractor assurance systems, and integrated work planning, control, and risk management across all functional areas (ES&H, S&S, quality, etc.).



The IM Task Team transmitted a report to the EFCOG BOD, which included the following three recommendations:

- Building on ISM and ISSM, continue pursuing the broader concept of Integrated Management (IM). This is consistent with DEAR 970.5203-1/-2 (Dec 2000), the "Management Controls" clause requiring "systems of management controls" for effective and efficient mission performance, including all programmatic and administrative functions.
- Accomplish IM by leveraging and integrating major new DOE and NNSA line oversight and contractor assurance system (CAS) initiatives. These joint DOE and NNSA initiatives are aimed at achieving an integrated approach to mission/work planning, control, and risk management across all programmatic and administrative functions, consistent with DEAR 970.5203-1/-2.
- Transition IM Task Team to a CAS Task Team under the EFCOG "Governance" initiative to provide focus for expediting/ maturing complex-wide CAS initiatives. This will provide a DOE-wide contractor forum for cooperative interaction and information exchange (benchmarking, lessons learned, etc.) aimed at effective and efficient development and implementation of emerging complex-wide CAS initiatives. EFCOG member companies should each provide a representative.

V. Expected Achievements for 2005

A. Working Group Expected Achievements for 2005

- Conduct two annual working meetings in the spring and fall to coordinate and facilitate Subgroup interaction and involvement.
- Support ISM related tasks and the EFCOG Critical Few in areas such as:
 - Working with DOE to formulate a path forward position relative to Line Oversight and Contractor Assurance Systems
 - Development of a uniform contractor supplier evaluation/qualification process



- Developing recommendations focused on electrical safety for voluntary contractor implementation
- Supporting EFCOG productivity initiatives
- Developing recommended guidance for performing effectiveness reviews and moving organizations to a “Review-Based Culture” for accelerated performance improvement.

Specific tasks associated with the above are:

- Host complex-wide Environmental Management System “Best Practice” Implementation Workshop (*Enhancing Productivity*)
- Issue Guidance for Contractor Implementation on Accomplishing Effectiveness Reviews and Conducting Extent of Problem/Cause Determinations (*Safety, Enhancing Productivity*)
- Implement Upgraded Supplier Evaluation/Qualification Process (*Enhancing Productivity, Effective Governance*)

B. Subgroup Expected Achievements for 2005

Environmental

The sub-group identified four new tasks for 2005; one of the two remaining 2004 tasks will close by the end of the 2004 and will result in the submission of four best practices and the other task will close by our next bi-annual meeting in March 2005.

- Coordination and sponsorship of an EFCOG/DOE Workshop on EMS Implementation in Columbus, Ohio in March 2005.
- Survey and report how sites are driving pollution prevention to the task level.
- Provide a team to coordinate EFCOG environmental subgroup input to the ‘facility level’ recommendations for the President’s Management Council initiative.
- Prepare an EFCOG communication notifying member companies of upcoming reviews, audits, and request for information from an independent audit group.
- The ESG will hold its spring meeting in Columbus, Ohio in conjunction with the DOE / EFCOG sponsored EMS Training Workshop.



Feedback and Improvement

- Conduct two annual meetings and continue to share good practices among the participating organizations and with DOE-HQ.
- Enhance use of Best Practices web-based process through active solicitation of Best Practices from all EFCOG Working Groups.
- Issue white papers on Effectiveness Reviews, Extent of Condition Determinations and Performance Analysis
- Support DOE HQ Occurrence Reporting Program Manager through the establishment of an Occurrence Reporting task team.
- Support DOE HQ Human Performance Initiative through the establishment of a Human Performance task team.

Occupational Safety and Health (OSH)

- Continued success in coordination of OSH meetings in Germantown and one other DOE location.
- Completion of new planned objectives and actions for each task team.

Quality Assurance

- QA Training workshops will again be held
- Continue the Supply Chain initiative for vendor qualification process
- Complete the Attributes of an effective Corrective Action Program
- Continued support to Chip Lagdon and identified the Quality Improvement Initiatives.

Integrated Management Task Team

- The Task Group concluded it's chartered activities and is awaiting any additional assignments that may come from the EFCOG BOD.



VI. Estimated Duration (Sunset Clause)

The role of the ISM Working Group is projected to continue to expand during 2005 and beyond. The Working Group will become the institutional group that promotes and sponsors ISM, including the related processes, across the DOE complex and among EFCOG Member Companies.

VII. Cost/Benefit Determination

During this year, the positive impact of the Working Group to the customer was continued through the various participating contractor operations. Sharing of ISM/ISSM processes and practices, which were made available for implementation at the various sites which likely resulted in cost savings to all Member Companies. Meetings are focused around two central meetings where all members of the Subgroups can assemble at one place at one time. Use of DOE facilities has minimized meeting costs.

Individual subgroup activities and sharing of Lessons Learned and Best Practices which filter back to each member company continues to be seen as a “cost savings.”

VIII. Issues

One issue is likely to be discussed with the EFCOG Directors during the 2005. The ISM Working Group Leadership Changes/Vacancies. During this past year (2004) the following changes were made:

- Tim Carter, VP Safety and Health, Fluor Hanford to ISM WG 1st Vice Chair
- Hans Vogel, ORNL/HIFR ESHQ Manager, from Vice Chair to 2nd Vice Chair, ISM WG
- Rex Beach, LLNL Associate Director Safety, to Vice Chair Feedback & Improvement Subgroup

Succession planning for the Working Group Chair and other leadership roles within the Working Group need to be managed such that the relationships with our DOE sponsors / customers, as well as Critical Few items being worked under the ISM WG, do not suffer from a transition.



IX. Lessons Learned

Continued coordination of sub-group meetings at the same location and concurrent with the Working Group meetings is better for member company representatives who participate on more than one task team or subgroup. In the future, more attention will be placed on scheduling workgroup and subgroup meetings that better accommodate fewer member company representatives needing to attend meetings at multiple locations if possible.

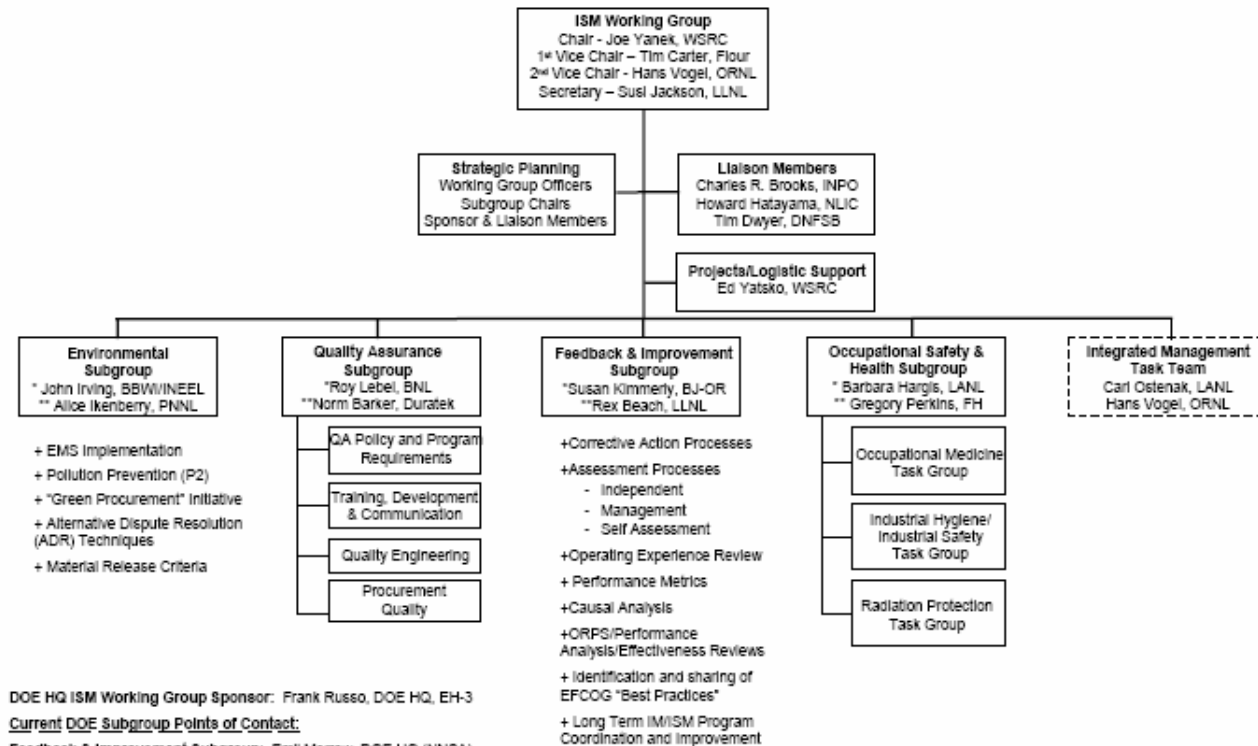
X. Recommendations

- The ISM Working Group and Subgroups as currently organized should continue during 2004.
- Work with DOE Sponsor(s) on Integrated Management proposal should continue during 2004.



Attachment 1: ISM Work Group Membership

EFCOG Integrated Safety Management Working Group



DOE HQ ISM Working Group Sponsor: Frank Russo, DOE HQ, EH-3

Current DOE Subgroup Points of Contact:

Feedback & Improvement Subgroup: Emil Morrow, DOE HQ (NNSA)
Randy Clendenning, DOE-SR

Environmental Subgroup: Steve Woodbury, DOE HQ (EH)

Occupational, Safety & Health Subgroup:

Quality Assurance Subgroup: Chip Lagdon, DOE HQ, EH31

ISM Working Group Organization Chart

Effective Date: August 27, 2004

* Indicates Subgroup Chair
** Indicates Subgroup Vice Chair



Attachment 2: Links to Working Group Related Information

Work Group Links and References

- Charter
<http://www.efcog.org/imwg/charter.htm>
- Home Page
<http://www.efcog.org/imwg/index.htm>
- Organization Chart
<http://www.efcog.org/imwg/Organization/WG Org Chart Rev-9.pdf>
- Integrated Project Schedule
<http://www.efcog.org/imwg/Secondary Files/ISMWGPSr1.pdf>

Liaison Links

- National Laboratory Improvement Council (NLIC)
<http://labs.ucop.edu/internet/nlic/index.html>
- National Environmental Training Office (NETO)
<http://www.em.doe.gov/neto/>

Meeting Minutes

- Meeting Minutes
[http://www.efcog.org/imwg/ENV Subgroup/Env Subgroup Mtg Minutes \(031106\).pdf](http://www.efcog.org/imwg/ENV Subgroup/Env Subgroup Mtg Minutes (031106).pdf)
<http://www.efcog.org/imwg/QA Subgroup/QA-MTG-11-06-03.pdf>
<http://www.efcog.org/imwg/IM Task Team/IM Task Team Meeting Notes.pdf>
<http://www.efcog.org/imwg/F-I Subgroup/F-I 11-03 mtg minutes.pdf>

Subgroup Charters

- Feedback & Improvement Subgroup Charter
<http://www.efcog.org/imwg/F-I Subgroup/F-I Charter.html>



- Environmental Subgroup Charter
http://www.efcog.org/imwg/ENV_Subgroup/Env_Subgroup_Charter.html
- Occupational Safety and Health (OSH) Subgroup Charter
http://www.efcog.org/imwg/OSH_Subgroup/OSHcharter.pdf